



JCT Rec'd PCT/PTO

VA JAN 2002

Patent

Attorney Docket: 266/255

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Inventor: RANA, Tariq M. et al.

Serial No.: 09/889,982

Filed: July 25, 2001

For: TAT-DERIVED OLIGOUREA AND  
ITS METHOD OF PRODUCTION AND  
USE IN HIGH-AFFINITY AND SPECIFIC  
BINDING OF HIV-1 TAR RNA

Group Art Unit: not yet assigned

Examiner: not yet assigned

TRANSMITTAL OF MISSING PARTS

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

I. DOCUMENTS ENCLOSED:

In response to the NOTICE TO FILE MISSING PARTS OF APPLICATION UNDER  
37 CFR § 1.53(f), which was mailed by the Patent Office on \_\_\_\_\_, enclosed are:

- ☒ Declaration
- ☐ Power of Attorney: ☐ Separate or ☐ Combined with Declaration
- ☒ Assignment of the invention to UNIVERSITY OF MEDICINE AND DENTISTRY  
OF NEW JERSEY (together with PTO Form 1595)

LA-216157.1

CERTIFICATE OF MAILING  
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

NOVEMBER 21, 2001  
Date of Deposit

MIYABI GRACE

Name of Person Mailing Paper

Miyabi Grace  
Signature of Person Mailing Paper

- ☒ A copy of the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)
- ☒ A copy of the Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures
- ☒ Submission of Sequence Listing with both paper copy and diskette with computer readable format of sequence listing
- ☒ Amendment Under 37 CFR 1.48(a) to Add Omitted Inventors
- ☒ Petition in Support of Amendment Under 37 C.F.R. 1.48(a) to Add Omitted Inventors
- ☒ Statements of Inventors in Support of Petition and Amendment for Correction of Inventorship (N. Tamilarasu and Ikramul Huq)
- ☒ Consent of Assignee to Add Inventors Under 37 C.F.R. 1.324(B)(3)

## II. REQUEST FOR EXTENSION OF TIME:

The proceedings herein are for a patent application and the provisions of 37 CFR § 1.136 apply.

- ☒ Applicant(s) petitions for an extension of time under 37 CFR § 1.136 [fees: 37 CFR § 1.17(a)(1)-(5)] for the total number of months checked below:

	EXTENSION (months)	FEE FOR SMALL ENTITY	FEE FOR OTHER THAN SMALL ENTITY
<input checked="" type="checkbox"/>	one month	\$55.00	\$110.00
<input type="checkbox"/>	two months	\$200.00	\$400.00
<input type="checkbox"/>	three months	\$460.00	\$920.00
<input type="checkbox"/>	four months	\$720.00	\$1,440.00
<input type="checkbox"/>	five months	\$980.00	\$1,960.00
		<b>Fee</b>	<b>\$55.00</b>

- ☒ If any extension fee is required, please consider this a petition therefor.

## III. FILING FEES

- ☒ Applicant claims small entity status pursuant to 37 CFR 1.27.

BASIC FILING FEE:							\$0.00
Total Claims	-	20	=	0	x	\$18.00	\$0.00
Independent Claims	-	3	=	0	x	\$84.00	\$0.00

Multiple Dependent Claims	\$280	(if applicable)	<input type="checkbox"/>	\$0.00
Surcharge 37 CFR § 1.16(e)	\$130	(if applicable)	<input checked="" type="checkbox"/>	\$130.00
<b>TOTAL OF ABOVE CALCULATIONS</b>				\$130.00
Reduction by ½ for Filing by Small Entity. Note 37 CFR §§ 1.9, 1.27, 1.28.			<input checked="" type="checkbox"/>	\$65.00
Extension of Time (from above)				\$55.00
Assignment -- \$40 (if applicable)			<input checked="" type="checkbox"/>	\$40.00
<b>TOTAL FEES SUBMITTED HERewith</b>				\$160.00

**IV. METHOD OF PAYMENT OF FEES:**

- ☒ A check in the amount of \$160.00 is enclosed to cover the above fee(s).
- ☐ Charge Lyon & Lyon's Deposit Account No. **12-2475** in the amount of \_\_\_\_\_.
- ☒ The Commissioner is authorized to charge Lyon & Lyon's Deposit Account No. **12-2475** for any fees required under 37 CFR §§ 1.16, 1.17 and 1.445 that are not covered, in whole or in part, by a check enclosed herewith and to credit any overpayments to said Deposit Account No. **12-2475**.

Respectfully submitted,

LYON & LYON LLP

Dated: 11/21/01

By: *Michael J. Wise*  
Michael J. Wise  
Reg. No. 34,047



**22249**

PATENT TRADEMARK OFFICE

LYON & LYON LLP  
633 W. Fifth Street, Suite 4700  
Los Angeles, CA 90071  
Ph: (213) 489-1600  
Fax: (213) 944-0440

01/22/2002 UEDUVIJE 00000082 09889982

01 FC:254

65.00 OP

02/22/2002 UEDUVIJE 00000082 09889982

02 FC:215

55.00 OP



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/889982	RANA T	13257-00018
INTERNATIONAL APPLICATION NO.		
PCT/US00/01957		

JANET E REED  
SAUL EWING  
1500 MARKET STREET 38TH FLOOR  
CENTER SQUARE BUILDING WEST  
PHIDELPHIA, PA 19102

I.A. FILING DATE	PRIORITY DATE
25 JAN 00	25 JAN 99

DATE MAILED: 14 SEP 2001

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- |   |   |
|---|---|
| <input type="checkbox"/> U.S. Basic National Fee.   | <input type="checkbox"/> Indication of Small Entity Status.                         |
| <input checked="" type="checkbox"/> Copy of the international application.  | <input type="checkbox"/> Translation of the international application into English. |
| <input type="checkbox"/> Oath or Declaration of inventors(s).   | <input type="checkbox"/> Translation of Article 19 amendments into English.         |
| <input type="checkbox"/> Copy of Article 19 amendments.   | <input checked="" type="checkbox"/> Other: IB 331                                   |
| <input type="checkbox"/> Priority Document.   |   |
| <input type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any.     |   |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. |   |

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- |   |   |
|---|---|
| <input type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Copy of the international application. |
|---|---|

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- |  |
|--|
| <input type="checkbox"/> a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.   |
| <input type="checkbox"/> The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.   |
| <input type="checkbox"/> b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).  |
| <input checked="" type="checkbox"/> c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. |
| <input type="checkbox"/> The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.   |
| <input checked="" type="checkbox"/> d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).  |

4. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917  
☐ PTO-875

☐ Notice of Defective Translation  
☒ PCT/DO/EO/920

COTTMAN, DARRELL C.

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-305-3693



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/889982	RANA	T 13257-00018
INTERNATIONAL APPLICATION NO.		

JANET E REED  
SAUL EWING  
1500 MARKET STREET 38TH FLOOR  
CENTER SQUARE BUILDING WEST  
PHIDELPHIA, PA 19102

PCT/US00/01957	
----------------	--

I.A. FILING DATE	PRIORITY DATE
25 JAN 00	25 JAN 99

14 SEP 2001

DATE MAILED:

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☒ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- ☒ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☐ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE  
CALL:

(703) 308-4216, for Rules interpretation,  
(703) 308-4212, for CRF submission help,  
(703) 287-0200, for PatentIn software help.

COTTMAN, DARRELL C.

Telephone: 703-305-3693